# The HIPAA Implementation Guidelines

Presented by
Rachel Foerster
Principal
Rachel Foerster & Associates

*Note: this material contains images of the ASC X12N 004010X095 Benefit Enrollment and Maintenance Implementation Guide copyrighted for the members of ASC X12N by Washington Publishing Company.*

## Topics

- Versions and releases
- Guides Organization
  - Common Sections
  - Unique Sections & Subsections
- Reading the guides
- What's not in the guides
- Things to keep in mind
- Health Care Data Element Dictionary

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Versions

- Implementation Guides based on October 1997 ASC X12 standards
  - Version 4, Release 1, Sub-release 0 (004010)
- New release of HIPAA in June 2000
  - Annotations (corrections) in current HIPAA guides will be cleaned up
- Only TWO changes in June release of 837 Institutional Claim guide
  - Number of service lines increased from 50 to 999 for each claim
  - Reason for admission added
- ***No other changes made***
- Get new guides from http://www.wpc-edi.com

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Organization of Guides

- All guides have these sections
  - §1 Purpose and Business Overview
  - §2 Data Overview
    - Unique & specific to each guide
  - §3 Transaction Set
  - §4 EDI Transmission Examples for Different Scenarios
  - §A ASC X12 Nomenclature
  - §B EDI Control Directory
  - §C External Code Sources
    - Unique & specific to each guide
  - §D Change Summary
  - §E Data Element Name Index

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

## Common Subsections
## §1 Purpose and Business Overview

- Document Purpose
- Version and Release
- Business Use and Definition
- Information Flows

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


## Unique Subsections
## §1 Purpose and Business Overview

- 837 Claim
  - Property and Casualty
- 835 Claim Payment/Advice
  - Transaction Set Limitations
- 834 Benefit Enrollment and Maintenance
  - Transaction Set Size
- 276/277 Claim Status Request/Response
  - Batch and Real Time Definitions
- 278 Services Request
  - Industry Terms and Definitions

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Common Subsections
# §2 Data Overview

- Overall Data Architecture
- Data Use by Business Use
  - Except 834 Benefit Enrollment

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Unique Subsections
# §2 Data Overview

- 820 Group Premium Payment
  - Data/Transaction Set Usage List
- 276/277 Claim Status Request/Response
  - Interaction with Other Transaction Sets
- 834 Benefit Enrollment and Maintenance
  - Location of Product Identifiers
  - Date Terminology
  - Linking a Dependent to a Subscriber
  - Termination
  - Updates Versus Full Audits
  - Coverage Levels and Dependents

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

## Unique Subsections
## §2 Data Overview: 837 Claim

- Loop Labeling and Use
- Loop ID-1000
- The Claim
- Interactions with Other Transactions
  - 277, 835, 997
- Limitations to the Size of a Claim/Encounter
- Use of Data Segments and Elements Marked "Situational"
- National Uniform Claim Committee
  - Professional claim only

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


## Other Unique Subsections
## 837 Claim

- Institutional Claim
  - UB-92 Mapping
  - Credit/Debit Card Use
  - X12N Name Index
- Dental Claim
  - NSF Mapping
  - Credit/Debit Card Use
  - X12N Name Index

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Other Unique Subsections
# 837 Claim

- Professional Claim
  - NSF Mapping
  - Credit/Debit Card Use
  - Medicare Primary, Secondary & Supplemental Payers
  - National Uniform Claim Committee Recommendations
  - X12N Professional Implementation Guide Alias Index
  - Loop 2440 Example (Form Identification)

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Reading the Guides

- Standard and Implementation
- Segment Representation
- Usage Requirements
  - Situational, Required, Not Used
- Data Element Representation
- Code Lists & External Code Sources
- Control Segments

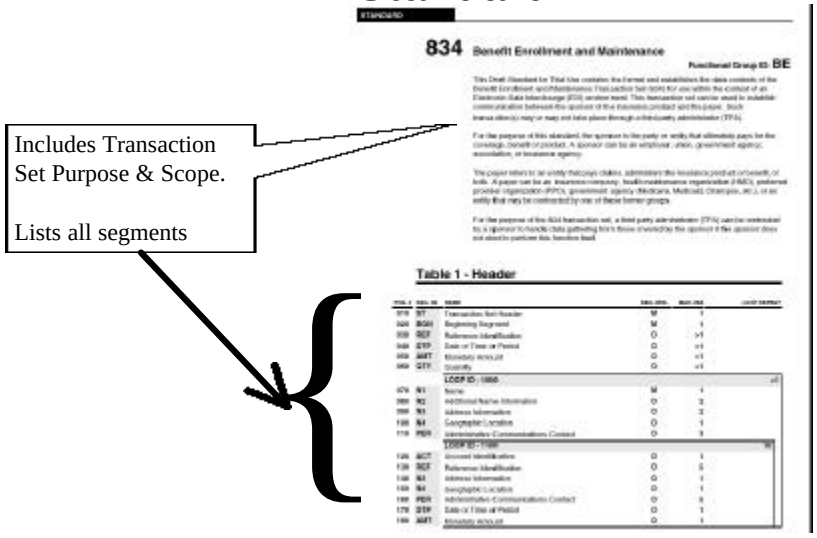
©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Presentation

- Transaction Set Listing
  - Implementation
  - Standard
- Segment Detail
  - Implementation
  - Standard
  - Diagram
  - Element Summary

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Transaction Set Listing Standard

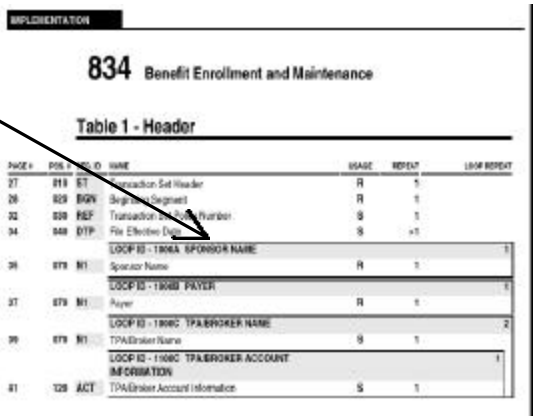



©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Transaction Set Listing Implementation

Add industry name to loops

Lists only required and situational use segments



IMPLEMENTATION

**834** Benefit Enrollment and Maintenance

**Table 1 - Header**

| PAGE # | POS # | SEG ID | NAME | USAGE | REPEAT | LOOP REPEAT |
|---|---|---|---|---|---|---|
| 27 | 010 | ST | Transaction Set Header | R | 1 | |
| 28 | 020 | BGN | Beginning Segment | R | 1 | |
| 32 | 030 | REF | Transaction Set Policy Number | S | 1 | |
| 34 | 040 | DTP | File Effective Date | S | >1 | |
| | | | LOOP ID - 1000A SPONSOR NAME | | | 1 |
| 36 | 070 | N1 | Sponsor Name | R | 1 | |
| | | | LOOP ID - 1000B PAYER | | | 1 |
| 37 | 070 | N1 | Payer | R | 1 | |
| | | | LOOP ID - 1000C TPA/BROKER NAME | | | 2 |
| 39 | 070 | N1 | TPA/Broker Name | S | 1 | |
| | | | LOOP ID - 1000C TPA/BROKER ACCOUNT INFORMATION | | | 1 |
| 41 | 120 | ACT | TPA/Broker Account Information | S | 1 | |

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Transaction Set Start Segment

IMPLEMENTATION

**TRANSACTION SET HEADER**

**Usage:** REQUIRED
**Repeat:** 1
**Example:** ST*834*0001~

STANDARD

**ST** Transaction Set Header
**Level:** Header
**Position:** 010
**Loop:**
**Requirement:** Mandatory
**Max Use:** 1
**Purpose:** To indicate the start of a transaction set and to assign a control number

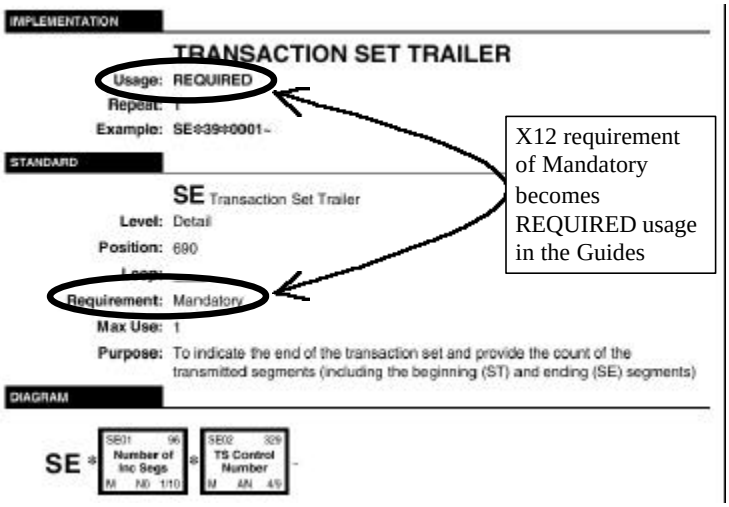
X12 requirement of Mandatory becomes REQUIRED usage in the Guides

DIAGRAM

ST * [ST01 143 TS ID Code M ID 3/3] * [ST02 329 TS Control Number M AN 4/9] ~

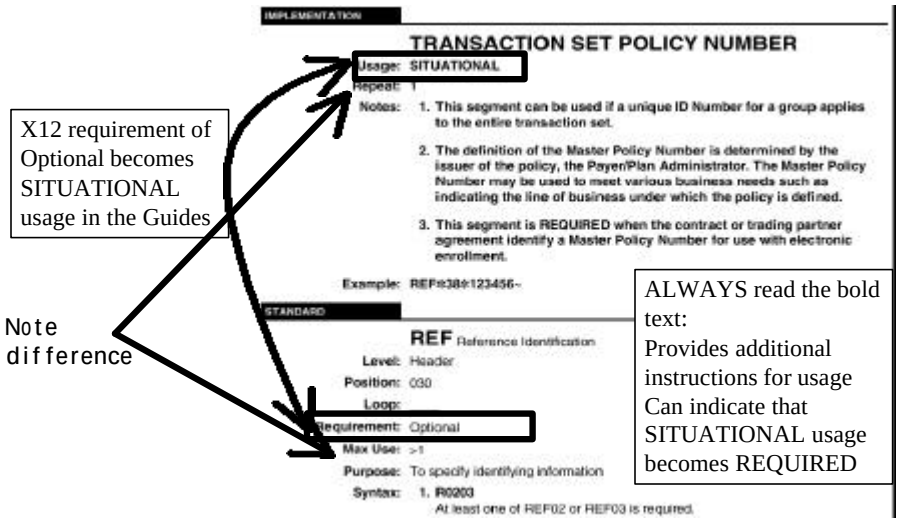
©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Transaction Set End Segment



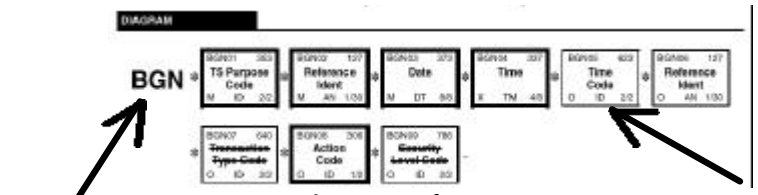

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Segments




©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Segment Diagram
(Sandboxes)




Segment ID

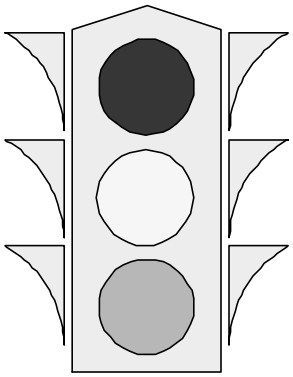
Boxes outlined in bold indicate REQUIRED elements

Elements crossed out indicate NOT USED elements

Other elements have SITUATIONAL usage

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Situational vs Required
# The HIPAA Traffic Signal



**Not used. Do NOT use this element.**

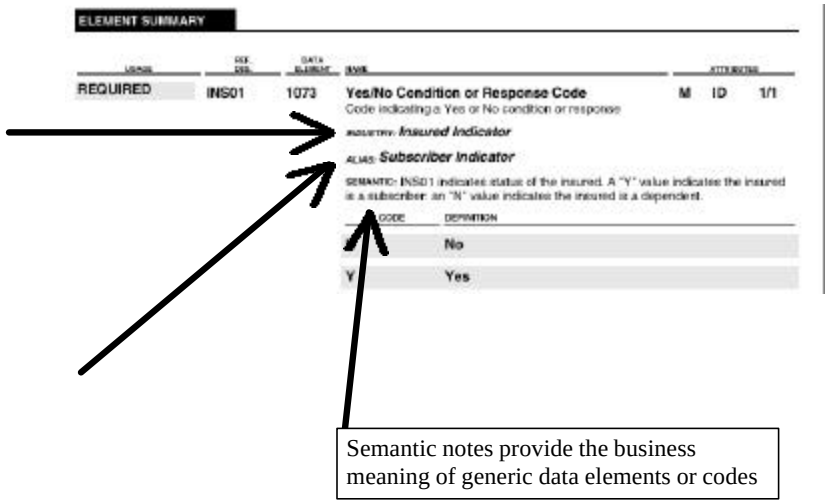
**Situational. Read the BOLD print to determine in which situations the segment, element or code becomes either required or not used.**

**Required. You MUST use this element.**

**There are NO optional use segments, elements or codes in HIPAA!**

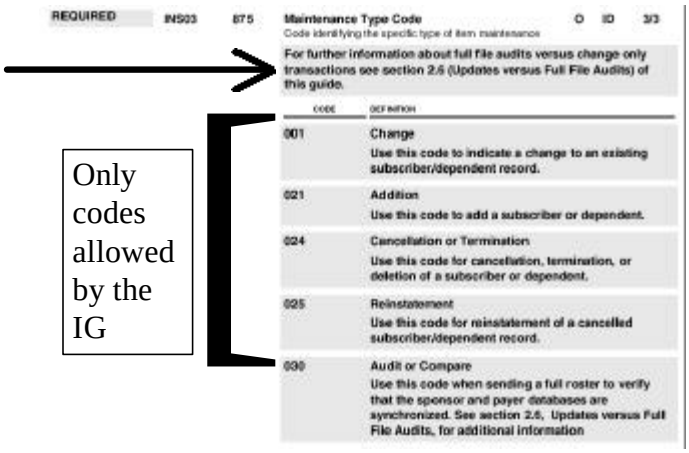
©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Element Summary



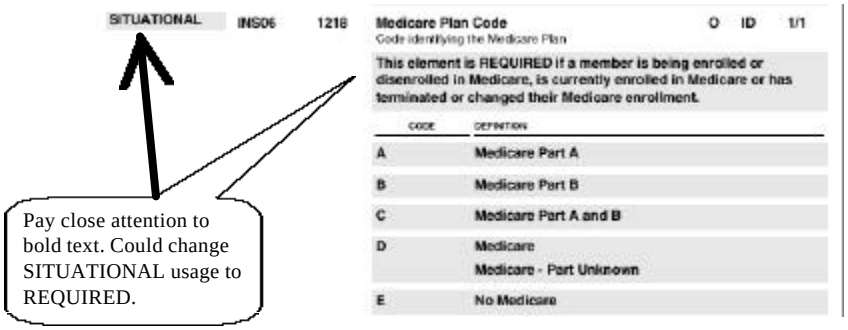

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Element Summary
# Allowed Code List



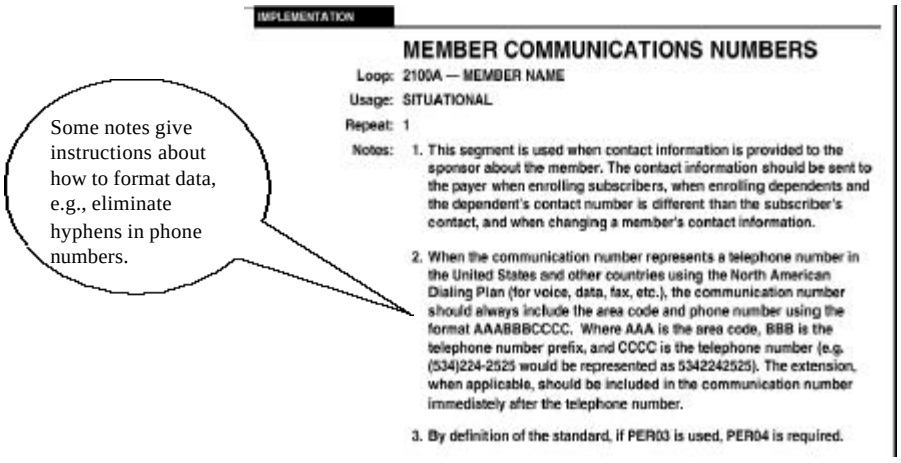

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Element Summary
# Situational Usage




©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

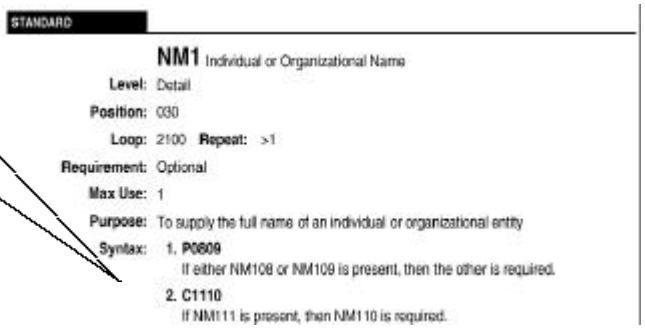

# Element Summary
# Formatting Characters in Data




©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Elements
# Syntax Notes

**Syntax notes are the rules for relationships between data elements, e.g., paired, conditional**



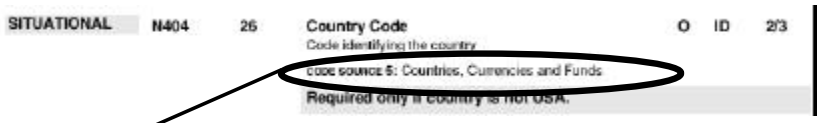
STANDARD

**NM1** Individual or Organizational Name

**Level:** Detail
**Position:** 030
**Loop:** 2100 **Repeat:** >1
**Requirement:** Optional
**Max Use:** 1
**Purpose:** To supply the full name of an individual or organizational entity
**Syntax:** 1. **P0609**
If either NM108 or NM109 is present, then the other is required.
2. **C1110**
If NM111 is present, then NM110 is required.

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# Code Lists & External Code Sources



| | | | | | | |
|---|---|---|---|---|---|---|
| SITUATIONAL | N404 | 26 | Country Code<br>Code identifying the country<br>Code source 5: Countries, Currencies and Funds<br>Required only if country is not USA. | O | ID | 2/3 |

**5 Countries, Currencies and Funds**

**SIMPLE DATA ELEMENT/CODE REFERENCES**
235/CH, 26, 100
**SOURCE**
Codes for Representation of Names of Countries,ISO 3166-(Latest Release)
Codes for Representation of Currencies and Funds, ISO 4217-(Latest Release)
**AVAILABLE FROM**
American National Standards Institute
11 West 42nd Street, 13th Floor
New York, NY 10036
**ABSTRACT**
. . . . . .

**References X12 Data Element Number and specific Code where Code Source is used**

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Code Lists & External Code Sources

**References X12 Data Element Number and specific Code where Code Source is used**

**131 International Classification of Diseases Clinical Mod (ICD-9-CM) Procedure**

**SIMPLE DATA ELEMENT/CODE REFERENCES**

235/ID, 235/DX, 1270/BF, 1270/BJ, 1270/BK, 1270/BN, 1270/BQ, 1270/BR,
1270/SD, 1270/TD, 1270/DD, 128/ICD

**SOURCE**

International Classification of Diseases, 9th Revision, Clinical Modification (ICD-9-CM)

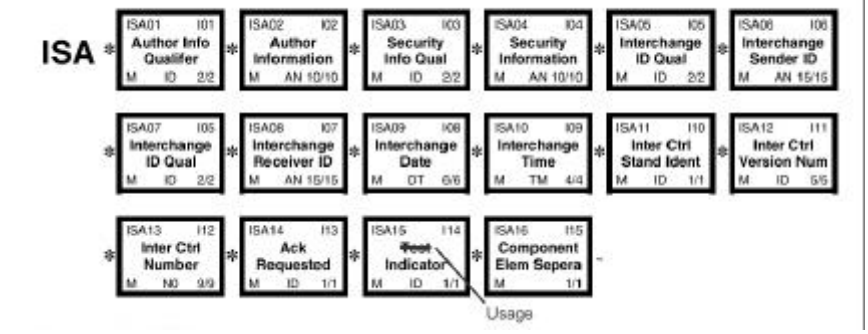
**AVAILABLE FROM**

U.S. National Center for Health Statistics
Commission of Professional and Hospital Activities
1968 Green Road
Ann Arbor, MI 48105

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

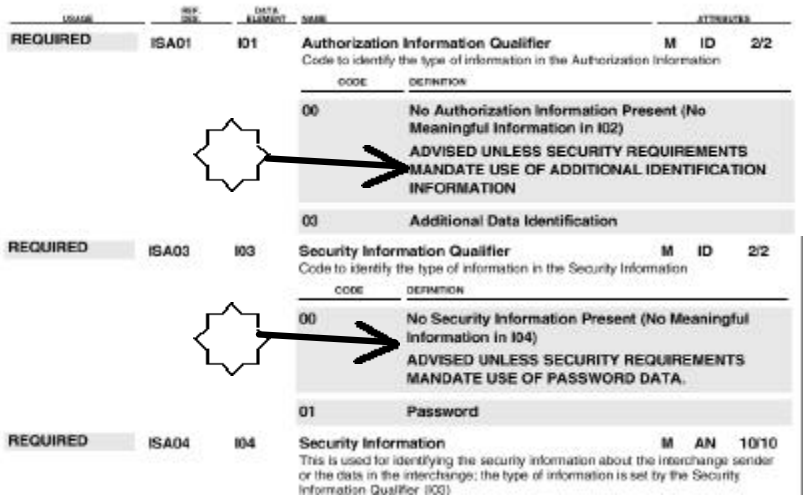

# ISA Interchange Control Header

DIAGRAM




©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# ISA Interchange Control Header
## Element Detail



| USAGE | SEG ID | DATA ELEMENT | NAME | ATTRIBUTES |
|---|---|---|---|---|
| REQUIRED | ISA01 | I01 | Authorization Information Qualifier<br>Code to identify the type of information in the Authorization Information | M ID 2/2 |
| | | | CODE: 00 — DEFINITION: No Authorization Information Present (No Meaningful Information in I02)<br>ADVISED UNLESS SECURITY REQUIREMENTS MANDATE USE OF ADDITIONAL IDENTIFICATION INFORMATION | |
| | | | 03 — Additional Data Identification | |
| REQUIRED | ISA03 | I03 | Security Information Qualifier<br>Code to identify the type of information in the Security Information | M ID 2/2 |
| | | | CODE: 00 — DEFINITION: No Security Information Present (No Meaningful Information in I04)<br>ADVISED UNLESS SECURITY REQUIREMENTS MANDATE USE OF PASSWORD DATA. | |
| | | | 01 — Password | |
| REQUIRED | ISA04 | I04 | Security Information<br>This is used for identifying the security information about the interchange sender or the data in the interchange; the type of information is set by the Security Information Qualifier (I03) | M AN 10/10 |

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# ISA Interchange Control Header
## Element Detail

| USAGE | SEG ID | DATA ELEMENT | NAME | ATTRIBUTES |
|---|---|---|---|---|
| REQUIRED | ISA05 | I05 | Interchange ID Qualifier<br>Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified | M ID 2/2 |

This ID qualifies the Sender in ISA06.

| CODE | DEFINITION |
|---|---|
| 01 | Duns (Dun & Bradstreet) |
| 14 | Duns Plus Suffix |
| 20 | Health Industry Number (HIN)<br>code source 121: Health Industry Identification Number |
| 27 | Carrier Identification Nmber as assigned by Health Care Financing Administration (HCFA) |
| 28 | Fiscal Intermediary Identification Number as assigned by Health Care Financing Administration (HCFA) |
| 29 | Medicare Provider and Supplier Identification Number as assigned by Health Care Financing Administration (HCFA) |
| 30 | U.S. Federal Tax Identification Number |
| 33 | National Association of Insurance Commissioners Company Code (NAIC) |
| ZZ | Mutually Defined |

**All codes in the standard are NOT in the guides**

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# ISA Interchange Control Header
## Element Detail

| | | | | | | |
|---|---|---|---|---|---|---|
| REQUIRED | ISA14 | I13 | **Acknowledgment Requested**<br>Code sent by the sender to request an interchange acknowledgment (TA1) | M | ID | 1/1 |
| | | | **See Section A.1.5.1 for interchange acknowledgment information.** | | | |
| | | | CODE — DEFINITION | | | |
| | | | 0 — No Acknowledgment Requested | | | |
| | | | 1 — Interchange Acknowledgment Requested | | | |
| REQUIRED | ISA15 | I14 | **Usage Indicator**<br>Code to indicate whether data enclosed by this interchange envelope is test, production or information | M | ID | 1/1 |
| | | | CODE — DEFINITION | | | |
| | | | P — Production Data | | | |
| | | | T — Test Data | | | |

Refers to TA1 not the 997

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# ISE Interchange Control End

**IMPLEMENTATION**

### INTERCHANGE CONTROL TRAILER

**Example:** IEA*1*000000905~

**STANDARD**

**IEA** Interchange Control Trailer

**Purpose:** To define the end of an interchange of zero or more functional groups and interchange-related control segments

**DIAGRAM**

**ELEMENT SUMMARY**

| USAGE | SEG ID | DATA ELEMENT | NAME | ATTRIBUTES | | |
|---|---|---|---|---|---|---|
| REQUIRED | IEA01 | I16 | **Number of Included Functional Groups**<br>A count of the number of functional groups included in an interchange | M | N0 | 1/5 |
| REQUIRED | IEA02 | I12 | **Interchange Control Number**<br>A control number assigned by the interchange sender | M | N0 | 9/9 |

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# GS Functional Group Header
## Element Detail

**IMPLEMENTATION**

**FUNCTIONAL GROUP HEADER**

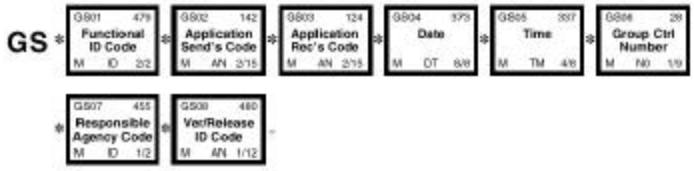
**Example:** GS*BE*SENDER CODE*RECEIVER CODE*
19940331*0802*1*X*004010X095~

**STANDARD**

**GS** Functional Group Header

**Purpose:** To indicate the beginning of a functional group and to provide control information

**DIAGRAM**




©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


# GS Functional Group Header
## Element Detail

**REQUIRED** GS08 480 **Version / Release / Industry Identifier Code** M AN 1/12

Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed

| CODE | DEFINITION |
|---|---|
| 004010X095 | Draft Standards Approved for Publication by ASC X12 Procedures Review Board through October 1997, as published in the Benefit Enrollment and Maintenance Implementation Guide approved for publication by ASC X12N, May 1999. |

Note: code used will be specific to each Implementation Guide

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

## GE Functional Group End

**IMPLEMENTATION**

**FUNCTIONAL GROUP TRAILER**

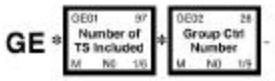
**Example:** GE*1*1~

**STANDARD**

**GE** Functional Group Trailer

**Purpose:** To indicate the end of a functional group and to provide control information

**DIAGRAM**




**ELEMENT SUMMARY**

| USAGE | SEG ID | DATA ELEMENT | NAME | ATTRIBUTES |
|---|---|---|---|---|
| REQUIRED | GE01 | 97 | **Number of Transaction Sets Included**<br>Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element | M N0 1/6 |
| REQUIRED | GE02 | 28 | **Group Control Number**<br>Assigned number originated and maintained by the sender<br>SEMANTIC: The data interchange control number GE02 in this trailer must be identical to the same data element in the associated functional group header, GS06. | M N0 1/9 |

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


## What's Not in the Guides

- Business processes
  - Internal, external
- How to establish trading partner relationships
- Trading partner agreements
  - How to set up
  - Content
- ISA/GS Sender/Receiver Id's
- Acknowledgment requirements
  - 997 vs TA1
- Communications modes & protocols
- Security technologies employed

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

## What's Not in the Guides

- For data content not represented in
  - ASC X12 Standards
  - HIPAA Implementation Guides
  - Health Level 7
  - NCPDP

  the National Uniform Claim Committee (NUCC), the National Uniform Billing Committee, (NUBC), and the American Dental Association (ADA) have signed a MOU that outlines a single process for requesting changes
- Process is both paper and web based

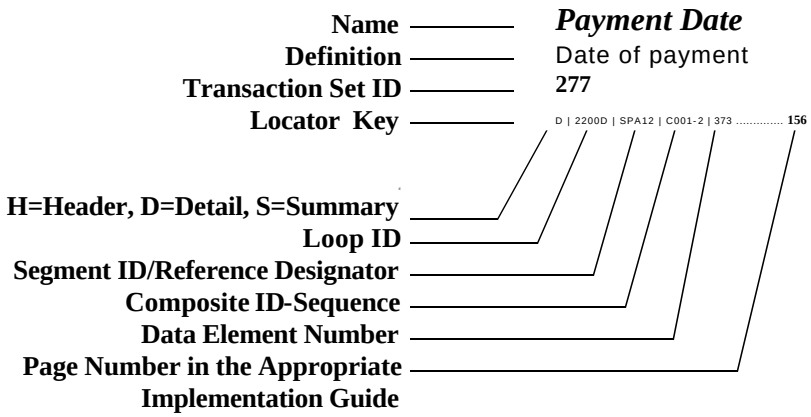
©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


## Health Care Data Element Dictionary

- Provides
  - An *alphabetic listing* of health care industry assigned element name
    - Industry assigned element names can be different than the X12 Standard data element names
  - An *industry definition* of the element
  - A *cross reference* to where the element is used
    - Transaction set, loop, segment/element position, page # in IG
  - A cross reference ***from*** the industry assigned element name ***to the X12 data element number***
- Does ***not*** provide a cross reference ***from the X12*** data element name/number to the industry assigned element name

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

## HIPAA Health Care Data Element Dictionary: Key




©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com


## HIPAA Health Care Data Element Dictionary: Example Entries

**Normal type indicates the generic ASC X12 name used as an industry name in the HIPAA IGs.**

**Citizenship Status Code**

Code indicating citizenship status

**834**

D | 2100A | DMG06 | - | 1066 ..... **72**

**Italic type indicates a health care industry defined name**

***Contract Amount***

Fixed monetary amount pertaining to the contract

**834**

D | 2100A | AMT02 | - | 782 ..... **75**

D | 2300 | AMT02 | - | 782 ..... **132**

**837 - Institutional**

D | 2300 | CN102 | - | 782 ..... **165**

**837 - Professional**

D | 2300 | CN102 | - | 782 ..... **219**

D | 2400 | CN102 | - | 782 ..... **468**

*Some data elements have an "ALIAS: Alias name is included in each specific guide at the segment/data element. Alias name is in italic type. Alias name is NOT in the Data Element Dictionary.*

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com

# Thanks!

# Questions

©Copyright 2000 Rachel Foerster & Associates, Beach Park, Il. All rights reserved. http://www.rfa-edi.com